

ARIZONA CODE OF JUDICIAL ADMINISTRATION
Part 1: Judicial Branch Administration
Chapter 5: Automation
Section 1-504: Electronic Reproduction and Imaging of Court Records

A. Definitions. In this section, the following definitions apply:

AANSI/AIIM@ means the American National Standards Institute and the Association for Information and Image Management. These two organizations are responsible for promoting and facilitating voluntary consensus standards and conformity assessment systems and promoting their integrity.

AArchival@ means that point in the electronic document management process when the subject matter (for example, a case) associated with a document is no longer subject to modification, related documents are purged and the long-term or permanent copy of the document is created and maintained so as to reasonably ensure its preservation according to approved records retention schedules.

ABackward compatible@ means that a document storage system is compatible with earlier models or versions of the same product. Software is backward compatible if it can use files and data created with an older version of the same software program. Hardware is backward compatible if it can run the same software as the previous model.

AConsultative Committee on International Telegraphy and Telephony@ (CCITT) means an organization that sets international communications standards.

AElectronic Document Management System@ (EDMS) means a collection of computer software application programs and hardware devices that provide a means of organizing and controlling the creation, management and retrieval of documents through their life cycle. It may include workflow software which enables organizations to define routing and processing schemes to automate the business processes for document handling. It may also include imaging and optical character recognition (OCR) software and devices to support the capture, storage, and retrieval of document images from paper.

AElectronic record@ means any record that requires the aid of a computer to read the record.

"Imaging" means the process of creating electronic copies by electronically photographing a document, photograph, color slide or other material using a scanner. Scanners record images digitally rather than on paper or film.

AIImaging system@ means the collection of computer software application programs and hardware devices that provides a means to capture, store, and retrieve document images from paper. An imaging system is often a part of an EDMS.

AIIndex@ means descriptive locator information about a digital document that allows the user to accurately identify it on electronic storage media. An index in an EDMS is an electronic file distinct from the collection of documents it catalogues. The act of providing the descriptive locator information is referred to as **AI**indexing.@ For example, a document might be **AI**indexed@ by its case number, party names, document type and date filed.

AIMedia@ means physical devices for storing data and images. It includes write once/read many (WORM) compact discs, compact disc-read only memory (CD-ROM), and digital video disc (DVD).

AIMigration@ means the process of upgrading to new technologies while preserving accessibility to existing records. It includes translating one electronic data format to another when a new computer or data management system is incompatible with the existing system. It also means the process of moving electronic data from one storage device or media to another.

AINon-proprietary@ means material (particularly software) that is not subject to ownership and control by a third party. **AI**Proprietary,@ on the other hand, generally refers to vendor-owned material whose specifications are not public.

AIOpen system standard@ means a published and commonly available interface specification that describes services provided by a software product. As a result, the specification is available to anyone and evolves through a consensus process that is open to the entire industry.

AIPixel@ means picture element and is the smallest element of a display surface that can be independently assigned color or intensity. The number of pixels determines the sharpness or clarity of an image and in imaging is often expressed in dots per inch (dpi).

AIRecords@ means the electronic or imaged documents and files in an EDMS.

AIRefresh@ means the copying of an image or a whole storage medium for the purpose of preserving or enhancing the quality of the images.

AIReproduction@ means the process of making an identical copy from an existing document on the same or different media.

AStructured query language[®](SQL) means a standardized query language for requesting information from a database.

ATagged image file format[®](TIFF) means a format for storing images on computers. It includes a standardized header or tag that defines the exact data structure of the associated image.

B. Applicability. These standards shall apply to all records kept by courts, including the methods used to electronically reproduce or create records and also the methods and formats used to electronically store, archive and reproduce records for the purpose of maintenance and preservation.

C. General Requirements

1. Courts shall use an EDMS that is non-proprietary and adheres to open system standards to image, store and access records. Court shall not use systems that employ proprietary designs, formats, software or media or require use of non-standard devices to access records. Courts shall obtain vendor certification of adherence to industry and open system standards which are published in ANSI/AIIM standards documents.
2. Courts shall employ security procedures that prevent unauthorized modification or deletion of records.
3. Courts shall establish written procedures to ensure records are true and correct copies of the original document.

D. Imaging and Indexing Requirements

1. The imaging system shall use a non-proprietary format such as TIFF; or
2. If using a proprietary format is unavoidable, the court shall acquire a method of translating (a **A**bridge[®]) to a non-proprietary format standard in accordance with ANSI/AIIM MS53-1993, *Recommended Practice; File Format for Storage and Exchange of Image; Bi-Level Image File Format: Part 1* as updated or superceded.
3. The court shall secure from the vendor a detailed definition and description of the image format structure used in the imaging system.
4. The imaging system must support scanning densities of 200 pixels (dots) per inch or higher.
5. Scanning quality must adhere to the standards presented in *Recommended Practices for*

Quality Control of Image Scanners (ANSI/AIIM MS44-1988 (R1993)).

6. The imaging system must support the current CCITT image compression/decompression Group 3 or Group 4 techniques without proprietary alterations to the algorithm. If the use of a proprietary compression algorithm is unavoidable, the system must provide a gateway to either Group 3 or Group 4 standards (or to a compression standard subsequently adopted by ANSI/AIIM.)
7. The imaging system shall use standard relational database technology to store the index and provide access using ANSI SQL.
8. Image processing procedures shall include an index entry verification, performed to ensure that all the images are easily and accurately retrievable.
9. The indexing process shall also identify documents which are subject to approved criteria for purging prior to any conversion to a permanent archival format.

E. Accessibility and Migration Requirements

1. Courts shall ensure that the public is afforded reasonable access to records, consistent with Supreme Court Rule 123. Courts shall ensure that an EDMS can appropriately limit access to records that must be kept confidential.
2. Courts shall ensure accessibility with a planned migration path so devices, media and technologies used to store and retrieve records are not allowed to become obsolete and they are promptly replaced or upgraded.
3. Courts shall ensure that any new equipment or software for an existing imaging system is backward compatible and shall obtain a vendor certification that the system will convert 100% of the image and index data to the new system so access to existing records is never impeded.
4. Courts shall periodically refresh electronic images in order to ensure their accessibility for as long as the applicable record retention schedules require. These procedures may require recopying of images to new media.

F. Retention and Storage Requirements

1. All media used for storing records must comply with ANSI/AIIM standards.
2. The manufacturer's recommendation for storage and use of storage media shall dictate the criteria for storing and using such media.

3. Courts shall annually inspect and test a random sampling of media used for storing records to verify its good condition.
4. Courts shall use only non-reusable media for storing records for archival purposes.
5. Courts shall ensure that records generated by or received for the courts are preserved in accordance with the applicable records retention schedules.

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